



NOTICE

California Department of Transportation Request for Qualifications 04A2187, 04A2191, 06A0838, 06A0839, 06A0840, 11A1097, and 54A0028

ADDENDUM 2

The purpose of this addendum is to clarify the federal Standard Form 330 (SF330) submittal requirements for Request for Qualifications (RFQ) 04A2187, 04A2191, 06A0838, 06A0839, 06A0840, 11A1097, and 54A0028 dated August and September 2004.

Only one SF330 is required. The Prime Consultant is responsible for the completion of the SF330. The Prime may wish to work with his/her subconsultants to gather all the needed information. Separate SF 330s should not be submitted for the Prime and each subconsultant.

Section F of the SF330 should present no more than 10 projects that best illustrate the proposed team's qualifications for the contract.

Section G of the SF330 should list the team's key personnel (Prime and Subs) and which of the 10 projects each team member worked on.

Firms that submit more than one SF330 in the Statement of Qualifications (SOQ) will be required to submit corrected copies of the SF330 within three working days of receipt of request.

Questions concerning the submittal requirements should be directed to the Contract Analyst identified in the RFQ.

All other sections should be completed in accordance with instructions provided with the SF 330.

The SOQ submittal deadline shall remain the same.



NOTICE
California Department of Transportation
Request for Qualifications 04A2191

ADDENDUM 1

This addendum for Request for Qualifications (RFQ) 04A2191, dated September 15, 2004 is to clarify the Request for Qualifications Submittal Instructions, the duration and submittal deadline.

Request for Qualifications Submittal Instructions Section I, **Requirements for Statements of Qualifications (SOQs)**, is amended where indicated by the vertical lines in the right margin:

I. REQUIREMENTS FOR STATEMENT OF QUALIFICATIONS (SOQs)

SOQs must be in the following format:

1. SOQs to be **bound on 11" side** - binding style to be determined by submitter.
2. Paper size to be 8-1/2" x 11" (except the Organizational Chart).
3. Font size used for all documents (except the Organizational Chart) to be a minimum of 8 point.
4. If contracts with similar services are being sought within the same RFQ, please note each individual contract is a separate offer. Consultants may elect to compete for more than one contract and must specify exactly which contract(s) they are competing for. This should be stated on the cover and within the transmittal letter. Consultant firms should provide resumes for each key team member they want to use for each contract and include each key team member on their organizational charts. The SOQs should include a staff availability plan to demonstrate the Consultant firm's capacity and ability to perform in more than one contract, if awarded. A separate SOQ for each contract may be submitted or a combined SOQ version may be submitted when contracts with similar services are being sought within the same RFQ.

SOQs are to be tabbed into four (4) Main Sections and contain the information listed below:

Section A. Transmittal Letter(s)

1. Prime Consultant transmittal letter is limited to three (3) pages per advertised contract. Transmittal letters shall be signed by the person authorized to obligate the firm or joint venture. Please list ALL subconsultants and provide the percentage (best estimate) of utilization for each firm. Please note these are estimates only and the firms will not be held to percent submitted except for goal commitments.
2. Each Subconsultant transmittal letter is limited to one (1) page per advertised contract. In this transmittal letter, each Subconsultant shall provide correspondence stating its commitment to

the Prime Consultant's team. The correspondence must be signed by a principal of the Subconsultant firm, indicating the specific portion of the work to be performed by the Subconsultant firm.

3. The signature of the authorized representative certifies that the information contained in the SOQ is truthful, accurate, and complete at time of submittal.
4. List the location of the offices where the work is to be performed. If the work is to be shared among firms and offices at different locations, indicate where each office is located and what work is to be performed in each office. For Field personnel, provide the location of the offices where they will be based and from which they will be managed.
5. List an individual's name and e-mail address for the Prime Consultant to which correspondence can be sent. If e-mail is not available, so indicate in the transmittal letter. Also, provide FAX number or indicate if FAX number is not available.
6. If the Prime Consultant and/or Subconsultants have identified any former State of California, Department of Transportation employee(s) on the Organization Chart, list the individual's full name, last date of employment with the Department, and their functional responsibility held while with the Department (within the last 24 months of employment). Further information concerning Conflict of Interest issues can be found under Section VI. MISCELLANEOUS, Paragraphs 8. and 9. in this RFQ Instruction.
7. The Prime Consultant's signature affixed on the Transmittal Letter certifies that neither the Prime Consultant nor its Subconsultants will engage in Construction Inspection services for the same project which the Prime Consultant and/or Subconsultant has performed Project Development or Project Construction Support services.
8. Provide the appropriate goal documentation as follows (SEE RFQ NOTICE FOR TYPE OF GOAL REQUIREMENTS):

DBE certification letter(s) issued by the certifying entity.

DBE PARTICIPATION FORMS. This will consist of one or both of the following pursuant to the instructions in ADM-0221F:

- ADM-0227F
- ADM-0312F

OR

DVBE certification letter(s) issued by the certifying entity.

DVBE PARTICIPATION FORMS. This will consist of one or both of the following pursuant to the revised instructions in STD 840 package:

Section C. Work Force Analysis Chart: Each employer (Prime and Subconsultant) **with 50 or more employees** must provide a work force analysis chart (as shown below) providing the total number and percentage of employees working in California per advertised contract. The Prime and each Subconsultant charts are to be separated by colored divider sheets or tabs.

Architects												
Other Technical/ Professional												
Office/Clerical												
TOTAL												
PERCENT OF TOTAL												

Section D. Nondiscrimination: Each prospective Consultant and Subconsultant must comply with the State's nondiscrimination program requirements found in Government Code Section 12990 and Title 2, California Code of Regulations, Division 4, Chapter 5, Sections 8103, 8104 and 8113 (unless exempted per Section 8115). For federally funded projects, nondiscrimination compliance requirements are found in Title VI of the Civil Rights Act of 1964, and the Code of Federal Regulations, 49 CFR Parts 21, 23, and 200.

1. A Prime or Subconsultant with fewer than fifty (50) employees in its entire workforce **are exempt from providing nondiscrimination and workforce utilization analyses.**
2. **Prime or Subconsultant firms with fifty (50) or more employees shall provide the following divided by colored divider sheets or tabs:**
 - a) Each employer (Prime and Subconsultant) must provide, unless exempted, a statement of compliance, under penalty of perjury, that they have complied with State nondiscrimination requirements.
 - b) Each employer (Prime and Subconsultant) must provide a description of the firm's nondiscrimination program designed to eliminate discrimination based on race, color, religion, age, sex, sexual orientation, disability, or national origin.

SOQs that do not comply with any requirement stated in this RFQ may be rejected.

Request For Qualification Notice Section 1. General Information, Paragraph C. duration is now changed to **4 (four) years.**

The SOQ submittal deadline is extended to **Wednesday, October 13, 2004.**

All other terms and conditions of the original RFQ Notice and Submittal Instructions are unchanged.



**REQUEST FOR QUALIFICATIONS (RFQ)
NOTICE
FOR THE
STATE OF CALIFORNIA
Department of Transportation
NUMBER 04A2191**

Note: All questions concerning this RFQ MUST be addressed to Harold Pinkston at (916) 227-6087. Consultants, who contact the District or Division directly, seeking information about the RFQ could jeopardize the integrity of the selection process.

Latest changes to this revision are noted with a side bar.

I. GENERAL INFORMATION

- A. The State of California, Department of Transportation (Department) is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for "On-Call" professional and technical hydraulic engineering on "as needed" basis to support the development and construction of proposed State transportation facilities. A more detailed description can be found in Article II of this RFQ.
- B. The Department anticipates the contract amount, to be in the range of \$3,000,000 - \$4,999,999.
- C. The duration of an awarded contract is expected to be three (3) years.
- D. Goal participation requirements for this solicitation is DBE goal requirement of 25%.
- E. The prevailing wage rates that apply are: State and Federal

Certified payroll or payment records shall be provided as requested by the Contract Manager. See Consultant Guidelines for Prevailing Wage and Labor Compliance of Architectural and Engineering (A&E) Contracts at the following web site: <http://caltrans-opac.ca.gov/aeinfo.htm>

- F. The Department does not guarantee either expressly or by implication, that any work or services will be required under any contract issued as a result of this RFQ.
- G. A Pre-award Audit will apply to any contract issued as a result of this RFQ.

H. FEE FOR PROFIT

The fee for profit shall not exceed 8%.

I. CONSULTANT WAGES

Consultant salaries shall not exceed the actual rates in effect at the date of the California State Contract Register (CSCR) advertisement for this RFQ Notice 04A2191.

II. SCOPE OF WORK/DELIVERABLES**A. Description of Required Services**

1. The Consultant will perform on-call professional and technical hydraulic engineering services on an "as needed" basis to support the development and construction of proposed State transportation facilities. The State's Contract Manager will assign specific work to the Consultant through the issuance of Task Orders. Task Orders may include, but are not limited to, the following Work Breakdown Structure (WBS) elements:

100	Perform Project Management
150.05.05.	Obtain and Review Existing Reports, Studies and Mapping
150.05.30.	Perform Surveys & Mapping for PID
150.05.35.	Define Problem
150.10.05.	Obtain Public/Local Agency Input
150.15.40.	Perform Hydraulic Review
150.15.55.	Develop Construction Estimates
160.05.10.	Review Geotechnical Information
160.05.25.	Review Geometrics
160.10.25.	Perform Hydraulics/Hydrology Studies
165.10.60.	Prepare Location Hydraulic/Floodplain Study Report
185.20.10.	Prepare Hydrology and Hydraulic Reports
190.25.	Prepare Site Plans for Special-Design Culverts
205.05.	Determine Required Permits
205.10.05.	Obtain U.S. Corps of Engineers Permit (404)
205.10.20.	Obtain Department of Fish and Game permit (1601/1603)
205.10.25.	Obtain Coastal Development Permit
205.10.45.	Obtain U.S. Fish and Wildlife Service Approval
205.10.50.	Obtain Regional Water Quality Control Board permit (401)
230.35.30.	Develop Hydraulic Specifications
230.40.15.	Calculate Drainage Quantities and Estimate
255.10.20	Update Hydraulics PS&E
255.10.25.	Update Technical Reports.

B. Location of Work

The work will be performed on projects to improve the State's transportation system in the following counties: Alameda, San Mateo, Contra Costa, Marin, Napa, Santa Clara, Solano,

Sonoma and San Francisco. The specific location of the work to be performed will be stated in each Task Order.

C. Personnel Requirements

1. The Consultant's personnel shall be capable of performing the types of work described above in "Required Services" with minimal instructions.
2. Project Manager - The Consultant's Project Manager shall coordinate with the State's Contract Manager. The Project Manager shall be accessible to the State's Contract Manager at all times during normal State working hours. The Project Manager shall be a licensed Civil Engineer in the State of California. In addition to other specified responsibilities, the Project Manager shall be responsible for all matters related to the Consultant's personnel and operations, including:
 - a. Reviewing, monitoring, training, and directing personnel.
 - b. Assigning personnel to complete the required Task Order work as specified.
 - c. Administering personnel actions.
 - d. Maintaining project files.
 - e. Developing, organizing, facilitating, and attending scheduled coordination meetings and preparation and distribution of meeting minutes.
 - f. Implement and maintain quality control procedures to manage conflicts, insure product accuracy and identify critical reviews and milestones.
 - g. Overseeing that all safety measures are in place during the course of all work.
3. Consultant staff and SubConsultants – The Consultant has total responsibility for the accuracy and completeness of the work prepared by the Consultant or their subConsultants for the projects and shall check all such material accordingly. The reports, calculations, and deliverables will be reviewed by the State for conformity with the requirements in the Task Order. Reviews by the State do not include review or checking of quantitative calculations or the accuracy with which such impacts or results are concluded in the reports. The responsibility for accuracy and completeness of such items remains solely that of the Consultant.
4. The Consultant shall throughout the life of the contract retain within the Consultant's firm, or through qualified subConsultants, a staff qualified to perform each of the tasks listed in this article.
5. The performance of the Project Manager and key personnel shall be evaluated by the State, at a minimum annually and at the end of the contract. Evaluation shall be based on the following:
 - a. Job performance
 - b. Quality of work
 - c. Timely submittal of reports, invoices and diaries, etc.
 - d. Early detection of problems and timely resolutions
 - e. Requesting timely approval for personnel changes and travel expenditures
 - f. Ability to control costs

6. Poor performance and a negative evaluation may result in replacement of the Project Manager and/or key personnel, or may adversely reflect on the Consultant's performance evaluation. The Project Manager shall be a licensed Civil Engineer in the State of California. The Project manager and all key personnel shall be accessible to the State at all times. The Project Manager shall be responsible for all matters related to the Consultant's personnel and operations.

D. Monitoring and Review Procedure

1. The State's Contract Manager shall have the right to monitor and review the progress and/or processes of the Consultant.
2. The Consultant shall meet with the State's Contract Manager a minimum of once per month to review procedures and progress.

E. Equipment and Materials to be Furnished by Consultant

Unless otherwise specified herein or in the Task Order, the Consultant shall provide all materials to complete the required work. Office Equipment and Supplies shall include:

1. Computers, printers, plotters, and calculators.
2. Data processing systems, including software for:
 - a. Processing digital terrain models in the Caltrans' approved roadway design format (CAiCE).
 - b. Coordinate geometry calculations. This software shall use/create coordinate geometry databases, naming and coding conventions in the Caltrans' approved formats (CAiCE).
 - c. Computer Aided Drafting equipment and software capable of producing drawings and documents in the Caltrans' approved format (MicroStation).
 - d. Specifications and other written documents shall be submitted in both hardcopy and electronic files in the State's approved format (Microsoft Word) and shall conform to the requirements of the State's Office Engineer.

F. Coordination

1. Coordination with the State, other consultants/contractors and other involved agencies will be required to achieve timely delivery of technical reports and documents. Coordination may include, but is not limited to, coordination with the State and its contractors, local agencies, and various other agencies.
2. The Contract Manager will decide the manner in which the coordination of individual matters are undertaken. At the Contract Manager's option they may be performed by the Consultant's direct contact, by the Consultant acting through the State or by the State only. When coordination efforts require agreements, such agreements shall be obtained through the State.

3. For contract work on property not owned or controlled by the State, all permits, agreements, and permissions will be obtained by the State in advance of the Consultant's activities.
 - a. The Consultant shall not enter property or facilities not owned by the State without prior permission or permit obtained through the State.
 - b. The Consultant shall notify the State, in writing, in advance of their need to enter said property or facility to perform work.
 - c. The Consultant's notice shall specify the date, purpose, duration, location, and the time of day of the Consultant's activities.
 - d. The Consultant shall comply with all reasonable conditions imposed by the Contract Manager and requirements set forth in the permission, permit, or agreement.
4. The Consultant and subconsultant personnel shall not meet, discuss, nor confer with the public, State personnel, Agency personnel or any personnel other than the State's Contract Manager, representatives appointed by the State's Contract Manager and approved Consultant personnel. Any communication with any personnel excluding the State's Contract Manager or representative and approved Consultant personnel require prior written approval.

G. Deliverables

1. Unless otherwise specified in the Task Order, the deliverables shall also conform to the requirements as specified herein.
2. If the Consultant fails to submit the required deliverable items set forth in this section, the State shall have the right to withhold payment, and/or terminate this Agreement.
3. All work described in this contract will be performed under task orders corresponding to the milestones or as directed by the State's Contract Manager.
 - a. The Task Orders will contain the specific statement of work to be performed under that Task Order. The Task Orders will also include the project milestone to be achieved by the Task Order in addition to any additional milestones needed to assure timely performance and fiscal responsibility regarding this project.
 - b. All Task Orders will be negotiated between the State's Contract Manager and the Consultant's Project Manager in accordance with the terms of this contract.
 - c. The Consultant shall submit a cost proposal for each Task Order to the State's Contract Manager for review. The cost proposal shall include, at a minimum, the following information: The names of the individuals proposed for work on this task, the individuals' classifications, the duties the individual will perform along with the Caltrans activity codes for such duties, the estimated hours for each individual under each duty or activity, the wage rates for each individual from Attachment A of this contract, and an estimate of allowable direct costs other than labor, an estimate of

- d. DBE utilization under this task, and scope of work and, a summation of total costs proposed for the Task Order.
- e. Other information may be included at the request of the State's Contract Manager.

H. Standards

1. All work shall be performed in accordance with current State and Caltrans Manuals and their current revisions. Work not covered by the "Manuals" shall be performed in accordance with accepted professional standards.
2. The State's Contract Manager shall decide all questions which may arise as to the quality or acceptability of deliverables furnished, and work performed for this contract. The minimum standard of work quality shall be that of similar work performed by the State.
3. Additional standards for tasks may be included in the Task Order. Such standards supplement the standards specified herein. If such additional standards conflict with the standards specified herein, the Task Order standards shall govern over the standards specified herein.

I. Product Approval and Payment

1. All deliverables, plots, reports, charts, and documents produced by the Consultant as specified by the task order shall be subject to the approval and acceptance by the State's Contract Manager.
2. In the event of non-acceptance due to errors or omissions, the Consultant shall make corrections prior to payment.

J. Person-hour Accounting

1. The Consultant must submit, within fifteen (15) calendar days from the Notice to Proceed date, a person-hour breakdown budget including the following activities: studies, analysis, designing, checking, and detailing. A report will be developed from this breakdown to measure contract performance and progress.
2. The person-hour and cost breakdown shall conform to the WBS requirements described in Section A above.

K. Availability and Work Hours

1. The Consultant shall begin the required work within three (3) working days after receiving a fully executed Task Order. Once the work begins, the work shall be prosecuted diligently until all required work has been completed satisfactorily.
2. Unless otherwise specified in the Task Order or directed by the State's Contract Manager, the normal workweek shall consist of 40 hours.

3. Overtime may be required. However, overtime shall be worked only when directed in writing by the State's Contract Manager or specifically required by the Task Order.

III. SUBMISSION OF STATEMENT OF QUALIFICATIONS (SOQs)

- A. **IMPORTANT:** Download "RFQ Submittal Instructions" from:

<http://Caltrans-opac.ca.gov/aeinfo.htm>

Failure to follow these instructions may result in rejection of your SOQs.

B. **SOQ Package Submittal Requirements**

1. Six (6) copies of the SOQs containing all the indicated information shall be submitted. FAX copies will not be allowed. SOQs will be accepted until **3:00 p.m. on October 5, 2004**, and must be directed to:

**State of California
Department of Transportation
Administration
Division of Procurement and Contracts - MS-67
Attention: Harold Pinkston
1727 30th Street
Sacramento, CA 95816-7006**

Telephone: (916) 227-6087

2. The SOQs shall be titled **RFQ Number 04A2191**. The RFQ number, together with the submittal deadline of, **3:00 p.m. on October 5, 2004**, must be shown clearly on the outside of the sealed package or box in which the SOQs are submitted and marked "**DO NOT OPEN UNTIL DUE DATE**". The RFQ number must also be shown on either the cover or the first page of each copy of the SOQs.
3. **If your SOQ package is hand delivered, you must date and time stamp it immediately upon arrival. The date/time stamp machine is located in the lobby of the first floor to the right of the security guard station at the address noted above. Date/time stamp one of the labels provided and attach it to the SOQ package. Ask the security guard to call the Division of Procurement and Contracts' reception desk at (916) 227-6000 to have your SOQ package picked up by Contracts' staff.**

C. **Request for Additional Copies**

For additional copies of this RFQ, contact the State of California, Department of Transportation, Division of Procurement and Contracts Bid Line. Phone the Bid Line at (916) 227-6075 and leave a recorded message or send your FAX request to (916) 227-1950. Remember to include the RFQ solicitation number.